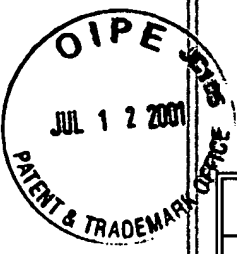


See for \$  
#3



IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Application No.:	Filed:	Inventor(s):	Atty. Dkt.:
09/828,519	04/06/2001	Andrew W. Lo, et al.	1869-003A
Title: DATA PROCESSOR FOR IMPLEMENTING FORECASTING ALGORITHMS			Examiner:
			not assigned
			Art Unit: 2171

Assistant Commissioner for Patents  
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION--FILING DATE GRANTED

Sir:

Enclosed for filing in the above matter are the following:

1. Declaration and Power of Attorney executed by Andrew W. Lo, Harry Mamaysky, and Jiang Wang;
2. A copy of the Notice to File Missing Parts of NonProvisional Application mailed on June 5, 2001;
3. Our check for \$130.00, for a non-small entity, in payment of the surcharge for late filing.

Please charge any additional expenses to Deposit Account No. 08-2776.

Respectfully submitted,

James M. Bollinger, Esq.  
Registration No. 32,555  
HOPGOOD, CALIMAFDE, JUDLOWE &  
MONDOLINO, LLP  
60 East 42nd Street  
New York, New York 10165  
(212) 551-5000

Dated: July 10, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service on July 10, 2001, as First Class Mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231.

Rosann Macchio



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/828,519	04/06/2001	Andrew W. Lo	1869-003A

CONFIRMATION NO. 6245

FORMALITIES LETTER



\*OC00000006146979\*

James M. Bollinger, Esq.  
 HOPGOOD, CALIMAFDE, JUDLOWE & MONDOLINO, LLP  
 60 East 42nd Street  
 New York, NY 10165

Date Mailed: 06/05/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- o **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/16/2001 BNGUYEN1 00000045 09828519

01 FC:105

130.00 OP